



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/668,741	09/25/2000	Takashi Sawaguchi	PM 273965 P8412

Pillsbury Madison & Sutro LLP
Intellectual Property Group
Ninth Floor
1100 New York Avenue NW
Washington, DC 20005-3918



FORMALITIES LETTER



OC000000005521151

Date Mailed: 10/31/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$108.
 - \$108 for 6 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 928.

01/03/2001 MAIL01 00000011 09668741

01 FC:201
02 FC:203
03 FC:205

355.00 OP
54.00 OP
65.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FILING COMPLETION UNDER RULE 53(f)

(NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT
APPLICATION**COMPLETION Under**
Rule 53(f)In re PATENT APPLICATION of

Inventor(s): SAWAGUCHI, Takashi

Attn: Application Division

Appln. No.:

09

668,741

Atty.Dkt.

PM

273965

P8412

Series Code ↑

Serial No. ↑

M#

Client Ref

Filed: September 25, 2000

Title: PORTABLE PERSONAL AUTHENTICATION APPARATUS AND ELECTRONIC SYSTEM TO WHICH
ACCESS IS PERMITTED BY THE SAMEHon. Commissioner of Patents
Washington, DC 20231

Date: December 29, 2000

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☒ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. # pages of Specification (only spec. & claims)
- c. ☐ Drawing(s) No of Sheets
- ☐ Fig(s).

4. ☐ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN

Application No.	Filing Date	Application No.	Filing Date
(1) 11-271022	September 24, 1999	(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(b)

9. 1 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) _____
in U.S. Application No. 1 filed on _____
10. Small Entity Status ☐ is Not claimed ☒ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

				Large/Small Entity		Fee Code
13. Basic Filing Fee				Design Application \$320/\$160		106/26
				Not Design Application \$710/\$355	+355	101/201
14. Total Effective Claims	26	minus 20 =	6	x \$18/\$9	+54	103/203
15. Independent Claims	1	minus 3 =	0	x \$80/\$40	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$270/\$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	65	105/205
18. FILING FEE ENCLOSED =					474	
19. <u>Original due date:</u> December 31, 2000						
20. <u>Petition is hereby made</u> to extend the <u>original</u> due date to cover the date this response is filed for which the requisite fee is attached				(1 mo)	\$110/\$55 =	+0
				(2mos)	\$390/\$195 =	
				(3mos)	\$890/\$445 =	
				(4mos)	\$1390/\$695 =	
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. TOTAL FEE ENCLOSED =					\$514	

Our Deposit Account No. 03-3975

Our Order No. 40913

C#

273965

M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Madison & Sutro LLP
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Atty/Sec: GJP/TNL

By Atty: Glenn J. PerryReg. No. 28458Sig: 

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NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT
APPLICATION

Inventor(s): SAWAGUCHI, Takashi
Appln. No.: 09 | 668,741
Series Code ↑ | Serial No. ↑

Filed: September 25, 2000

Hon. Commissioner of Patents
Washington, D.C. 20231

Sir:

Group Art Unit 2131
Examiner: Unknown
Atty. Dkt. PM 273965 | P8412
M# | Client Ref
Appln. Title: PORTABLE PERSONAL
AUTHENTICATION APPARATUS
AND ELECTRONIC SYSTEM TO
WHICH ACCESS IS PERMITTED
BY THE SAME

Date: December 29, 2000

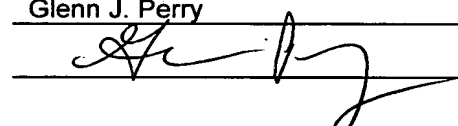
NOTIFICATION OF CHANGE IN SMALL/LARGE ENTITY STATUS

Please note the following change to/from Small Entity Status:

- ☒ **CLAIMED NOW**: Applicant hereby claims Small Entity Status
- ☐ **WITHDRAWN NOW**: Applicant hereby withdraws Small Entity Status

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Respectfully Submitted
Pillsbury Madison & Sutro LLP
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